

# RSC20

**OCLC RESOURCE SHARING  
CONFERENCE**



## When There's Only One: Resource sharing and the predicament of the dissertation request

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**#OCLCRSC20**





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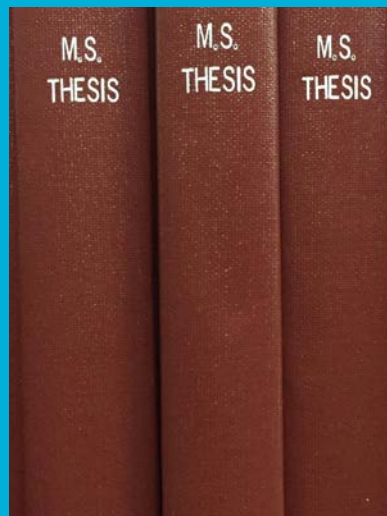


# Agenda

- Literature Review – why study T&Ds?
- Methodology
- Case Studies from U. of Maryland and Minnesota
- Peer Survey of U.S. Research Libraries
- Conclusion: Solutions and Advocacy

# 1. Introduction

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# Literature Review





# Literature Review

- Demand for graduate works extends across borders, with local dissertations ranked as the 2nd or 3rd most difficult type of material to acquire in the 2011, 2015, and 2019 international ILL surveys conducted by the STARS section of RUSA ALA.
- Embargoes of ETDs are one of the primary culprits... and they represent a barrier not only to open access on the Internet, but also to resource sharing.
- Embargoes appear to be increasing over time.



# Literature Review

- Morris (2004) University of Georgia
- Even the American Historical Association's recommendation (2013) added that authors who elect to embargo their ETD should also deposit a print copy in their university library for lending, or alternatively provide a digital copy to those on campus or access via the author's explicit permission.



# Methodology: Mixed Methods

- ILLiad
  - Borrowing and Lending request data
- WorldCat
  - Degree metadata (Borrowing)
- Institutional Repositories (DRUM and UDC)
  - Degree metadata (Lending)





# Methodology: Mixed Methods

- SQL and ILLiad Custom Searches
  - Dependent on data quality
  - Require knowledge of historical ILL policy
- Python scripts
  - For normalizing and linking data
  - Exported to spreadsheets for analysis



## 2. Borrowing Case Studies

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Universities of Maryland (UMC) and Minnesota (MNU)



▶ 2,570 requests

For theses and dissertations, FY 2015-2018

▶ 83% fill rate

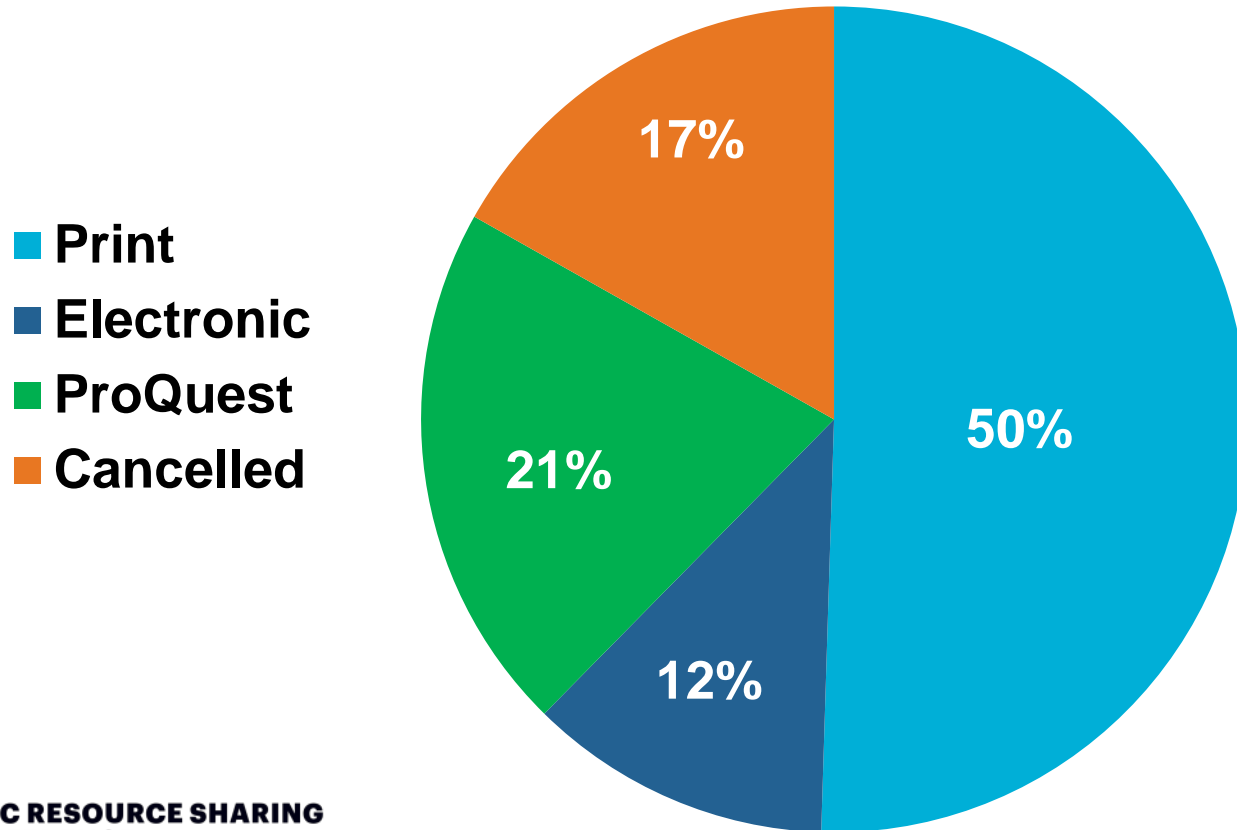
Which is lower than overall fill rate of 88%

▶ 33% e-delivery

Includes scanned files, open access, and ProQuest ETDs

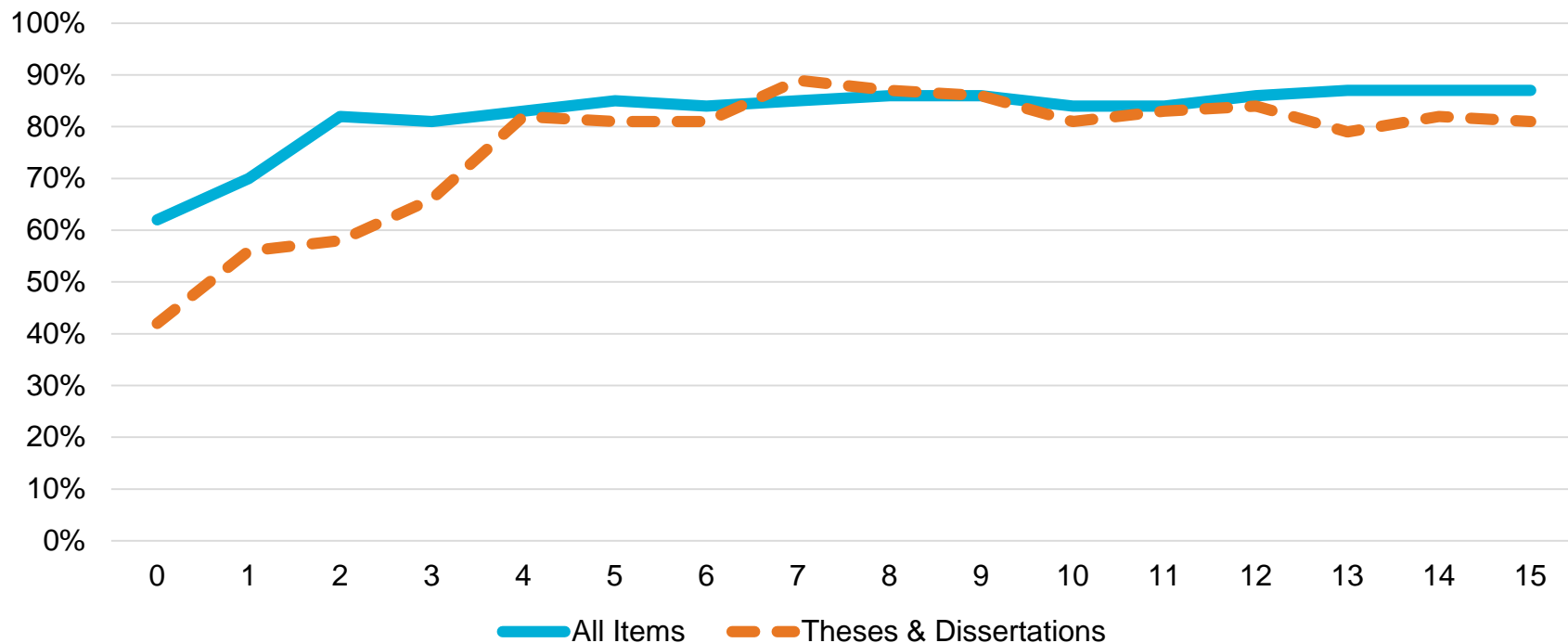


# UMC Requests for Theses & Dissertations





# UMC Fill Rate by Material Age





▶ 1,719 requests

For theses and dissertations, FY 2018

▶ 76% fill rate

Which is lower than overall fill rate of 92%

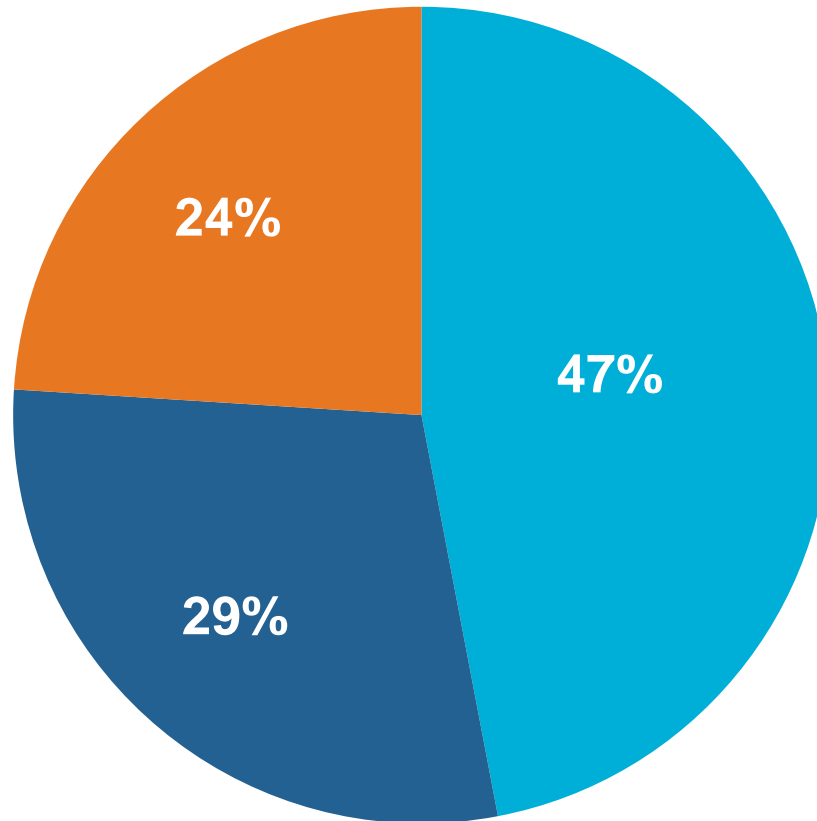
▶ 29% e-delivery

Includes scanned files (19%) + open access (81%)



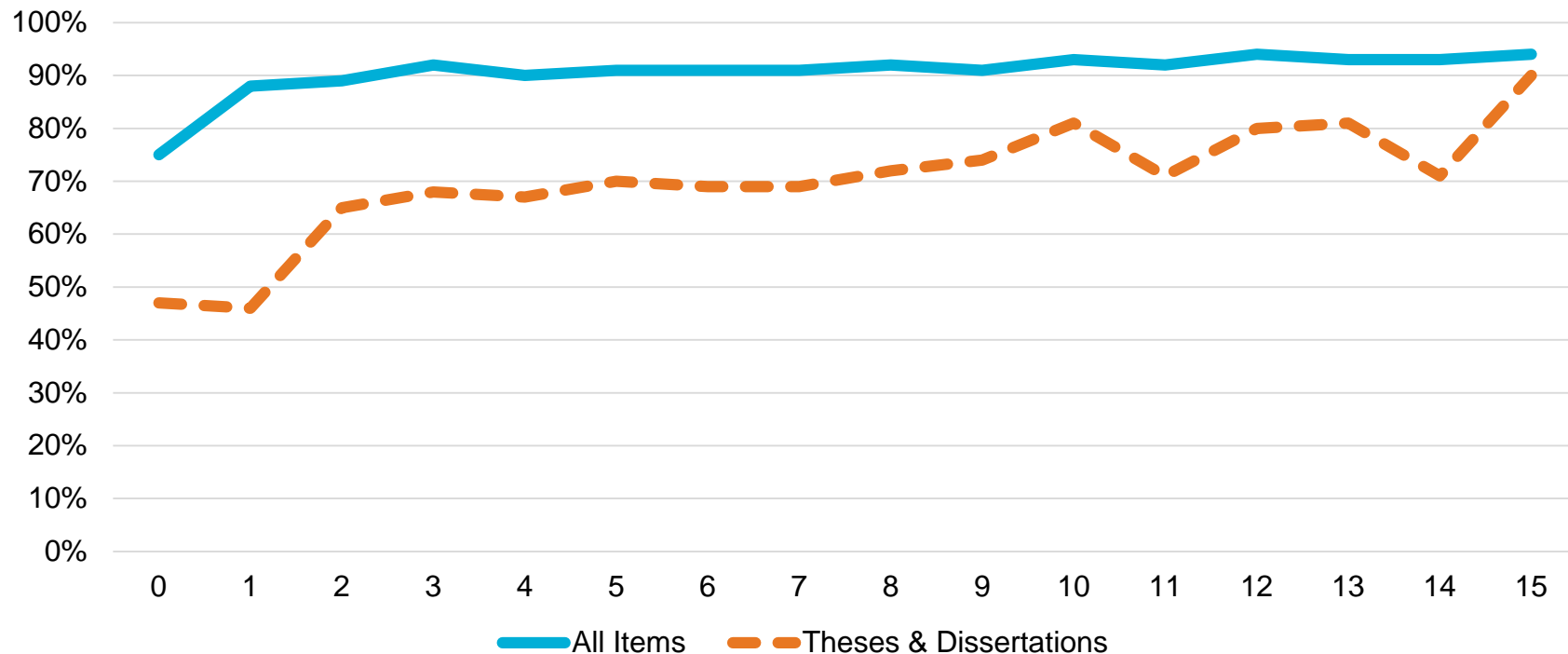
# MNU Requests for Theses & Dissertations

- Print
- Electronic
- Cancelled





# MNU Fill Rate by Material Age







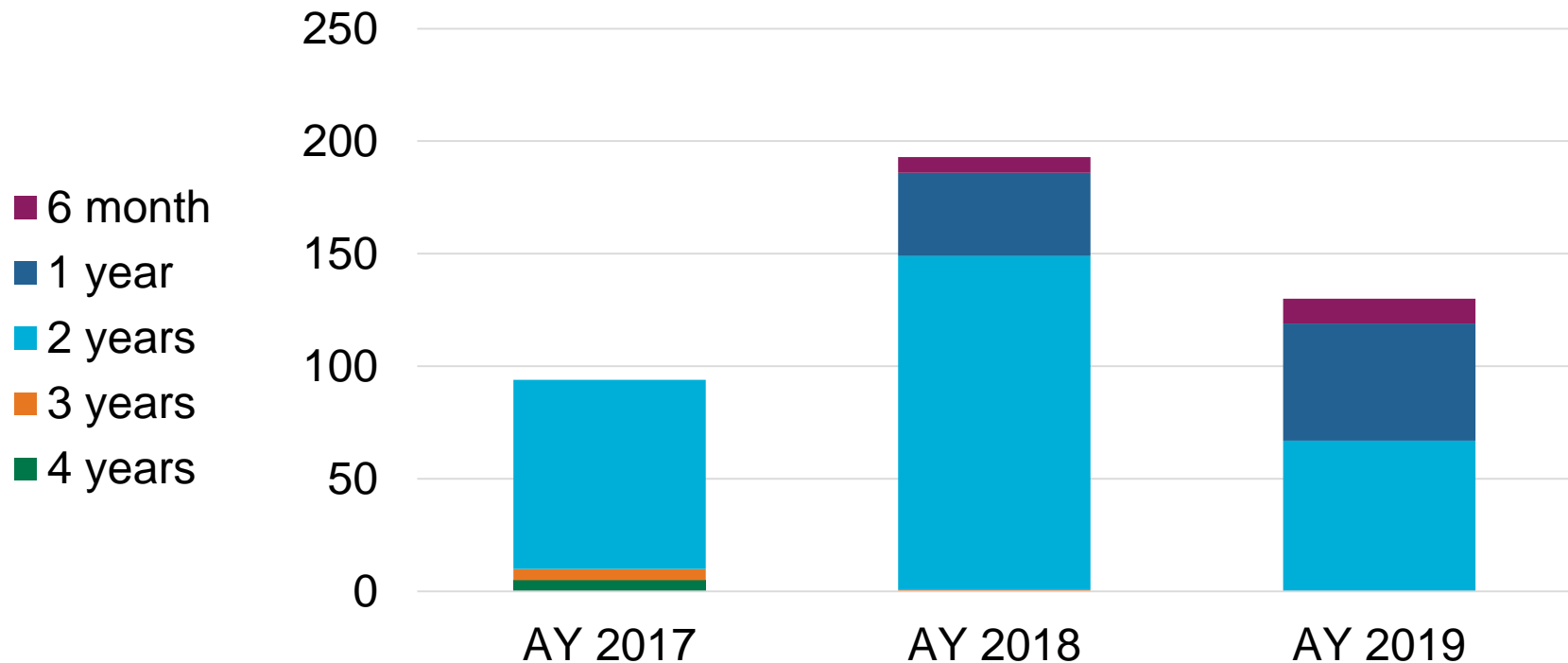
# 3. Lending Case Studies

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Universities of Maryland (UMC) and Minnesota (MNU)

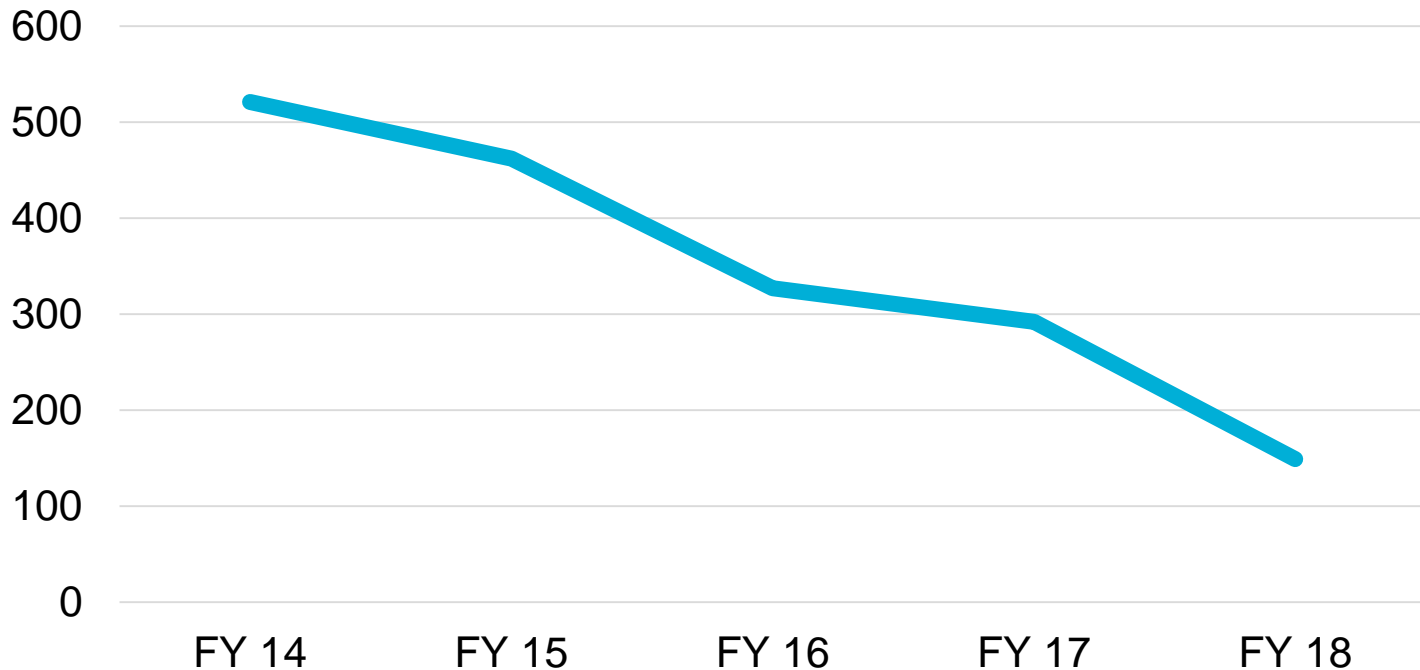


# MNU ETD Embargos Placed by Authors





# MNU Lending Requests Received by Fiscal Year





▶ 84% fill rate

For all 5 fiscal years

▶ 99% filled print

1% (24 of 1,751) digitized or shared link to ETD

▶ Low embargo impact

Those deposited from 2010-2017 were < 5% of requests



# Embargoes by Discipline

## University of Minnesota

College of Science &  
Engineering: **29%**

College of Liberal Arts: **19%**

College of Education & Human  
Development: **10%**

## University of Maryland

College of Computer, Mathematical &  
Natural Sciences: **25%**

School of Engineering: **24%**

College of Arts & Humanities: **16%**



# Brief History of ETDs at UMC

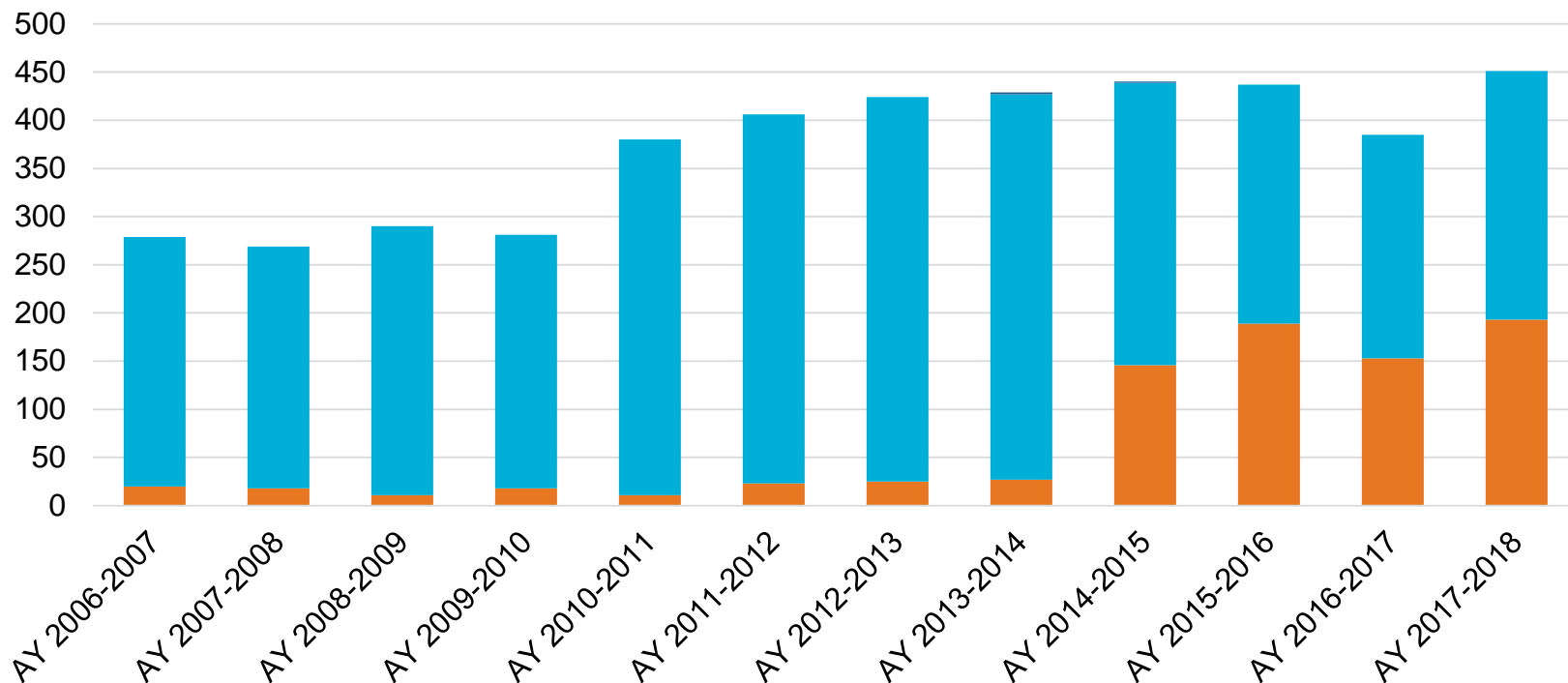
2003:  
Mandated  
deposit of  
ETDs begin

2006:  
Option to  
embargo  
begins

2013:  
ETDs now  
only copy  
deposited



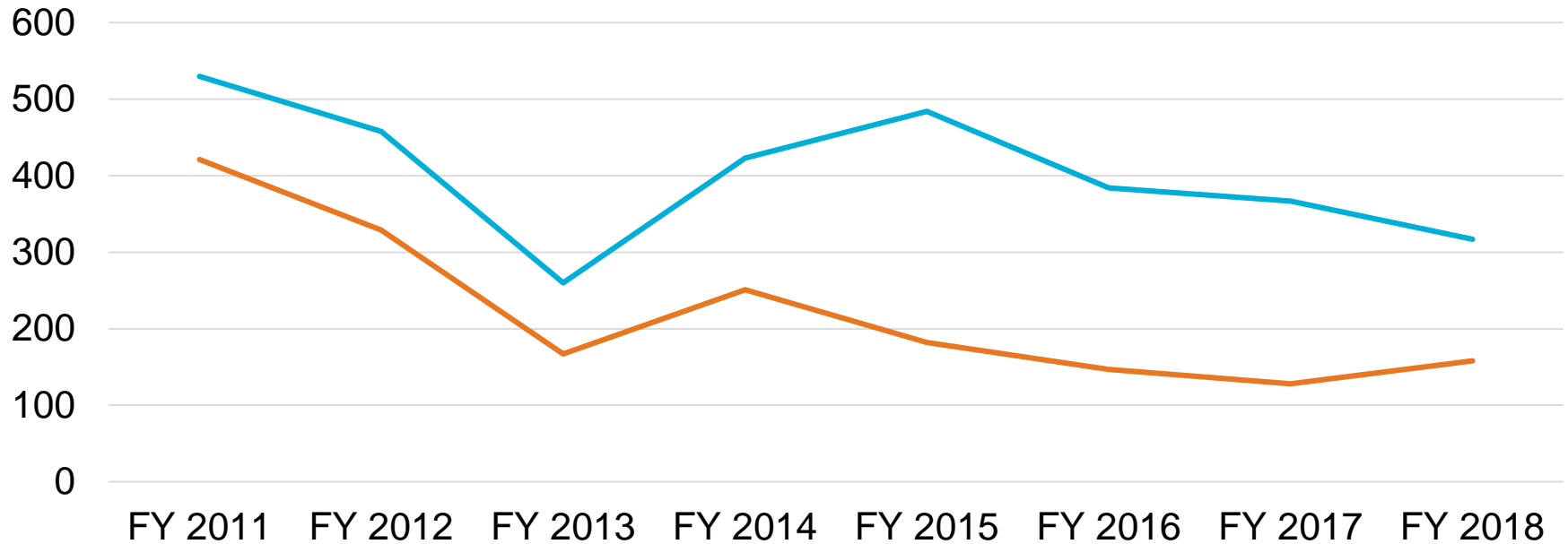
# UMC ETD Embargos Placed by Authors





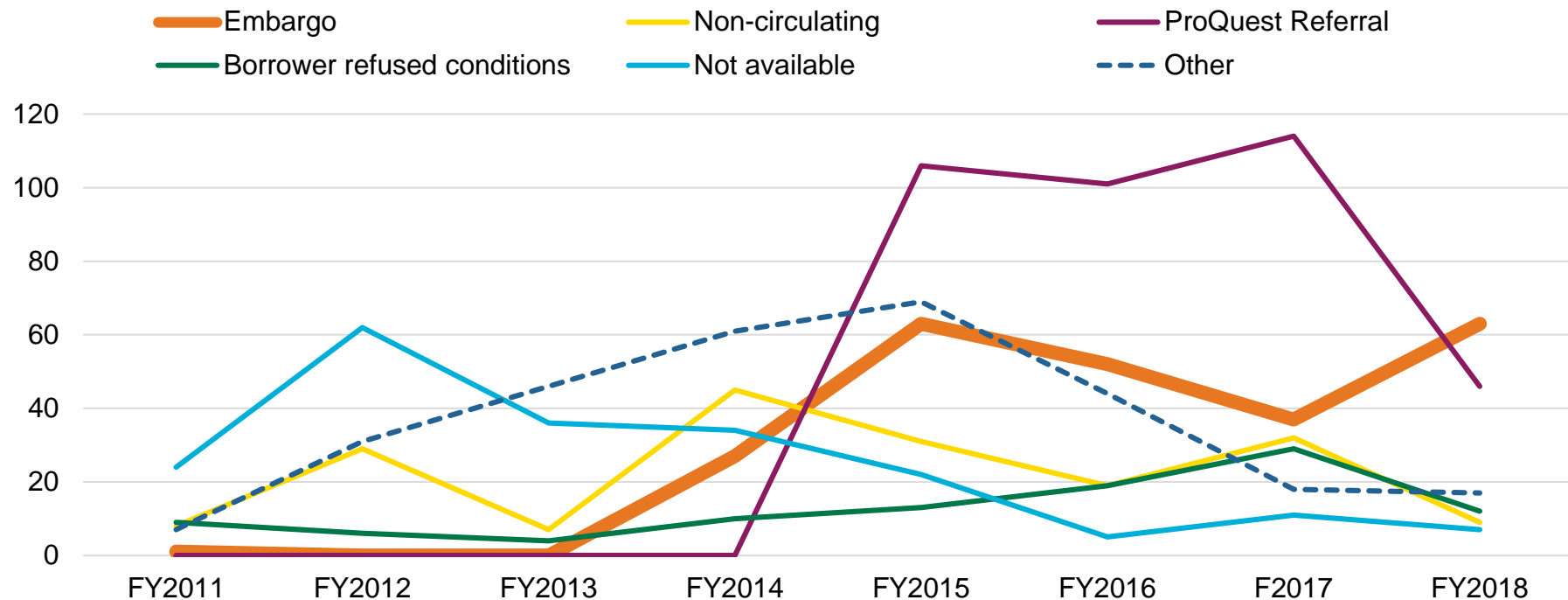
# Requests for UMC Theses & Dissertations

— Received — Filled



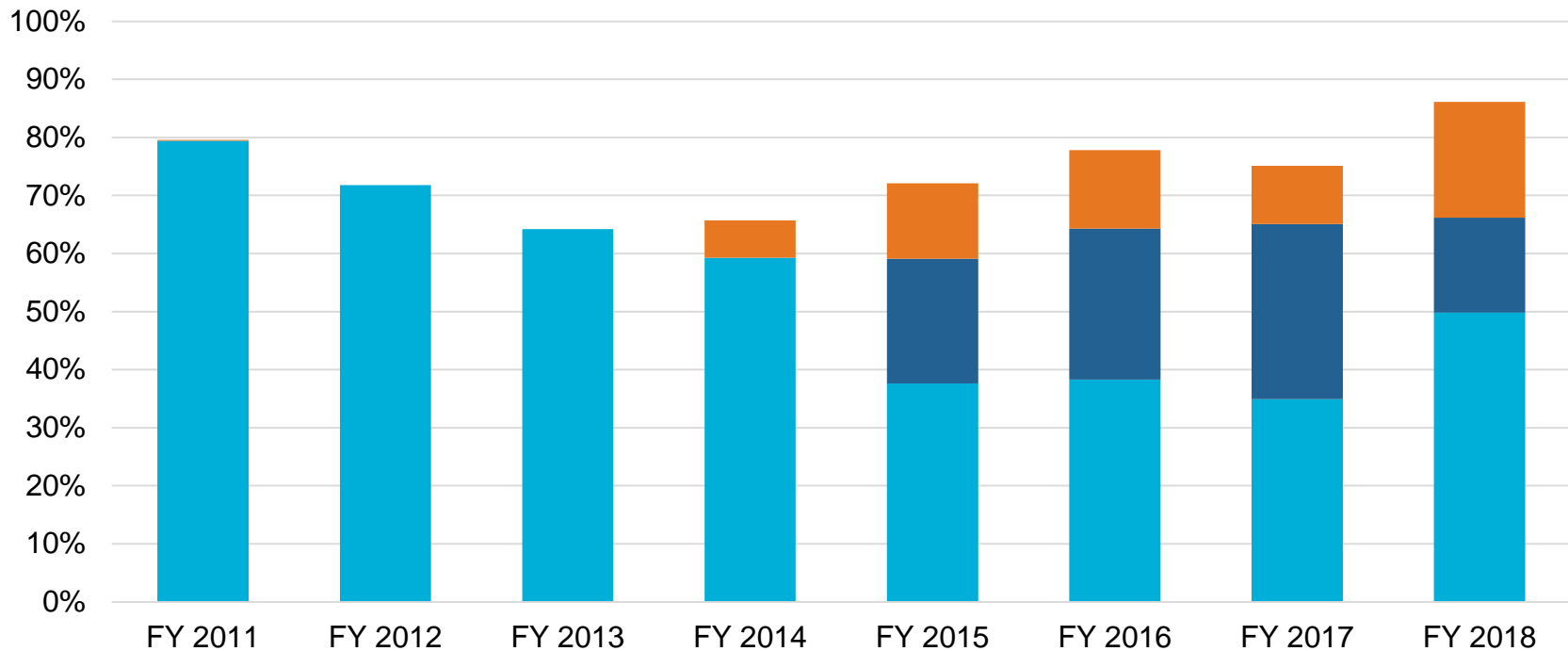


# Cancellation Reasons for UMC T&Ds





# Fill Rate for UMC Theses & Dissertations





# 4. Peer Perspectives

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Survey of R1 University Libraries in the U.S.



# 131 R1 Universities

Survey was distributed to ILL supervisors at each



# 63 responses

Received over a 4-week period

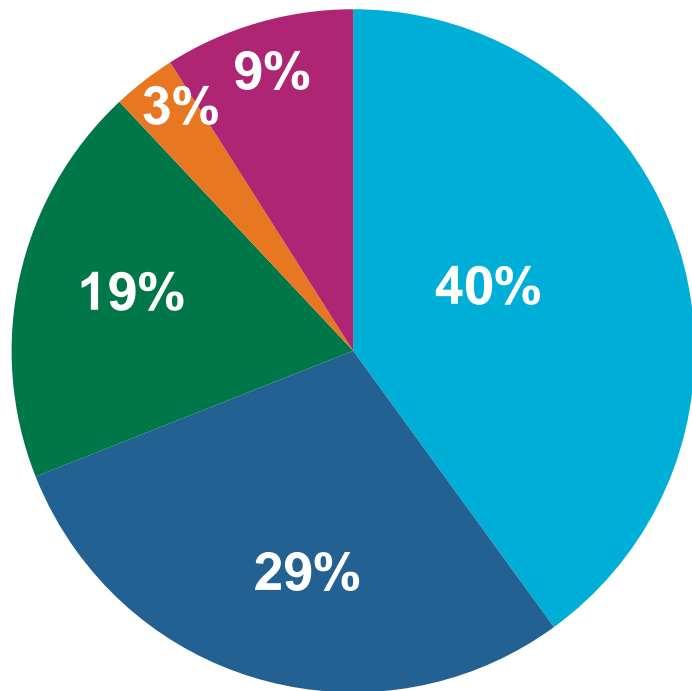


# 48% response rate

Results likely representative of U.S. research libraries



# Searching & Connecting Borrowers with ETDs

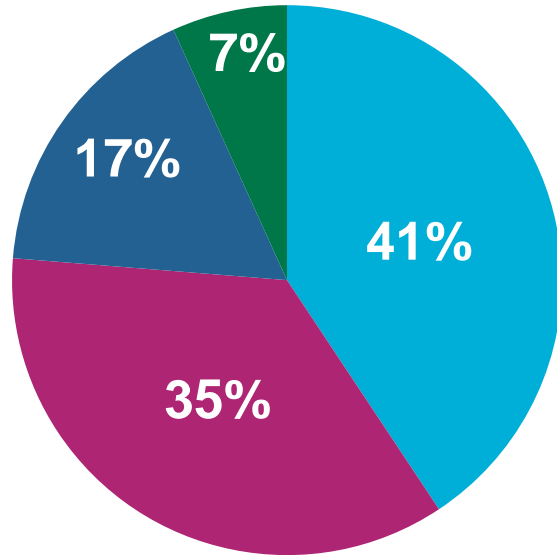


- Yes, by providing a link to full text via OCLC conditional or email
- Yes, by downloading a PDF and charging default fee
- Yes, by downloading a PDF and supplying for free
- No, we do not check our institutional repository
- Not applicable (i.e., no institutional repository with open access ETDs)

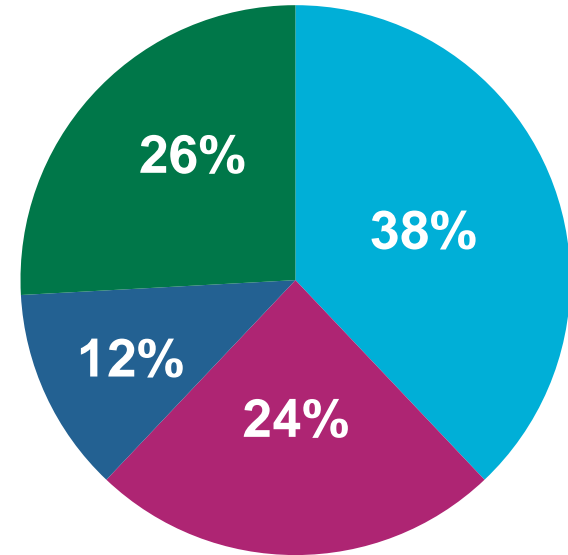


# Ability to Lend from ProQuest

**Local ETDs Deposited  
with ProQuest**

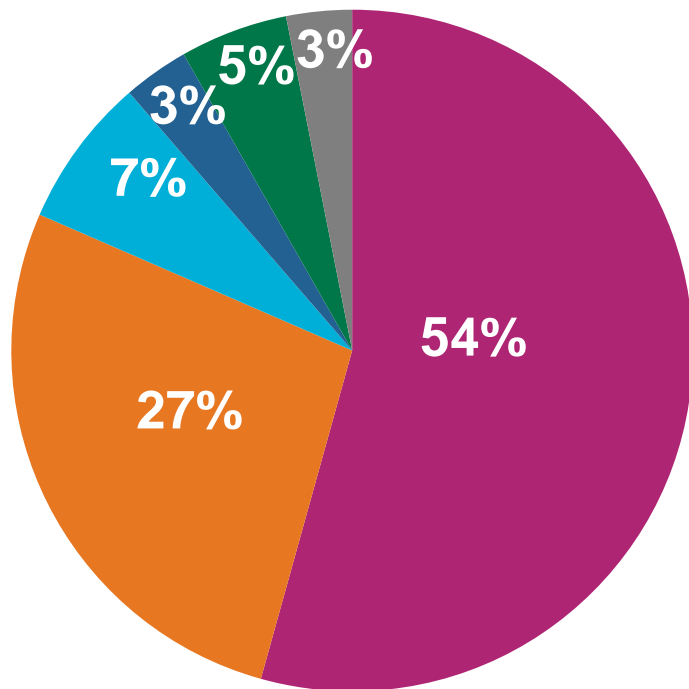


**From ProQuest Dissertations  
& Theses Global**



- Yes
- No
- I don't know
- Not applicable

# Ability to Lend Embargoed ETDs



- No lending embargoed ETDs in any format
- No lending embargoed ETDs but may lend print copy
- Yes, lending embargoed ETDs is permitted
- Don't know if lending embargoed ETDs is permitted
- Don't know if embargoes are permitted
- No embargoes are permitted



## Methods for Lending Embargoed ETDs

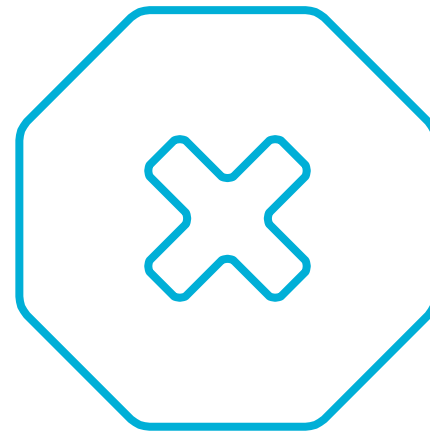
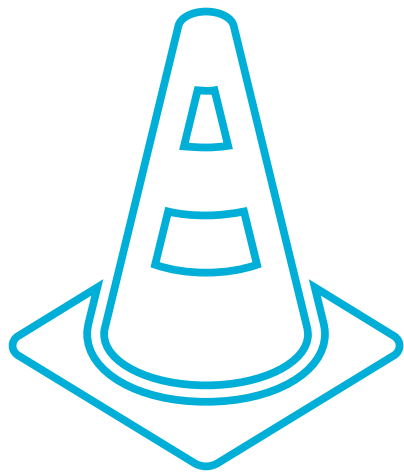
1. Contact author to request permission + PDF
2. Contact ETD team, which shares request directly with author (who may share directly)
3. Download and share PDF
4. Request temporary link from ETD team





# 5. Conclusion

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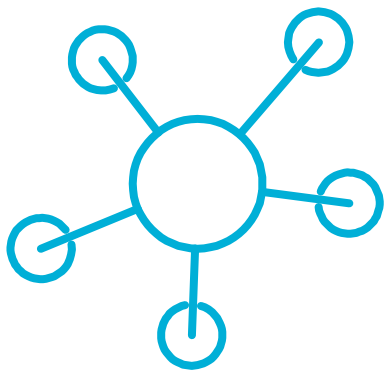


## Old Obstacles

Shipping Costs, Fear of Loss  
Limited Availability

## New Barriers

ETD Embargoes  
Licensing Restrictions



## Advocacy

Within the Library  
Across the University  
With Vendors



## Solutions

Controlled Digital Lending  
Rethink Restrictive Policies  
Negotiate Licensing Terms  
Improve Discoverability



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thank you

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